

United States Patent and Trademark Office

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

 APPLICATION NUMBER
 FILING or 371(c) DATE
 GRP ART UNIT
 FIL FEE REC'D
 ATTY.DOCKET.NO
 TOT CLAIMS IND CLAIMS

 10/597.290
 12/30/2008
 1614
 515
 2245.074
 20
 3

CONFIRMATION NO. 8876

23405 HESLIN ROTHENBERG FARLEY & MESITI PC 5 COLUMBIA CIRCLE ALBANY, NY 12203

0C00000034206123

FILING RECEIPT

Date Mailed: 01/28/2009

SHOULD BE:

OKFORDSHIRE, UK

SUMMIT CORPORATION PLC

Receipt is acknowledged of this non-provisional patent application. The application will be taken up for examination in due course. Applicant will be notified as to the results of the examination. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections

Applicant(s)

Robert James Nash, Ceredigion, UNITED KINGDOM;

Alison Ann Watson, Ceredigion, UNITED KINGDOM; Emma Louisa Evinson, Cambridgeshire, UNITED KINGDOM;

Hadyn St. Pierre Parry, Surrey, UNITED KINGDOM;

Assignment For Published Patent Application

MIN L PHARMA LIMITED, Ceredigion, UK, UK

Power of Attorney: The patent practitioners associated with Customer Number 23405

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/GB2005/000215 01/21/2005

Foreign Applications

UNITED KINGDOM 0401238.1 01/21/2004

If Required, Foreign Filing License Granted: 01/25/2009

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 10/597,290**

Projected Publication Date: 05/07/2009

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

FEB - 2 2009

BOARD ROTHENBERG

FER - 2 8 MESTERS

Title

IMMUNOMODULATORY ALKALOIDS

Preliminary Class

510

PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at http://www.uspto.gov/web/offices/pac/doc/general/index.html.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, http://www.stopfakes.gov. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

LICENSE FOR FOREIGN FILING UNDER

Title 35, United States Code, Section 184

Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as

set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign AssetsControl, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No_license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

D:PHILILP E. HANSEN COMPANY:5 COLUMBIA CIRCLE



UNITED STATES PATENT AND TRADEMARK OFFICE

Facsimile Transmission

To:

Name:

PHILILP E. HANSEN

Company:

5 COLUMBIA CIRCLE

Fax Number:

15184525579

Voice Phone:

From:

Name:

ASSIGNMENT SERVICES BRANCH

Voice Phone: 571-272-3350

37 C.F.R. 1.6 sets forth the types of correspondence that can be communicated to the Patent and Trademark Office via facsimile transmissions. Applicants are advised to use the certificate of facsimile transmission procedures when submitting a reply to a non-final or final Office action by facsimile (37 CFR 1.8(a)).

Fax Notes:

Pg#	Description	
1	Cover Page	
2	317.TXT	
4	Document 1, Batch 1518693	

USPTO ASSIGNMENT SYSTEM PROCESSING

Date and time of transmission: Tuesday, December 30, 2008 7:24:54 pm Number of pages including this cover sheet: 05

D:PHILILP E. HANSEN COMPANY:5 COLUMBIA CIRCLE



UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE



DECEMBER 30, 2008

500742294A

PTAS PHILILP E. HANSEN

5 COLUMBIA CIRCLE

HESLIN ROTHENBERG FARLEY & MESITI P.C.

ALBANY, NY 12203

UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, MAIL STOP: ASSIGNMENT SERVICES BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 12/30/2008 REEL/FRAME: 022038/0569

NUMBER OF PAGES: 15

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

DOCKET NUMBER: 2245.074

ASSIGNOR:

PARRY, HADYN ST. PIERRE DOC DATE: 12/05/2008

ASSIGNOR:

NASH, ROBERT JAMES DOC DATE: 02/01/2008

ASSIGNOR:

WATSON, ALISON ANN DOC DATE: 02/03/2008

ASSIGNOR:

EVINSON, EMMA LOUISA DOC DATE: 02/18/2008

USPTO 12/30/2008 7:32:16 PM PAGE 3/005 Fax Server

D:PHILILP E. HANSEN COMPANY:5 COLUMBIA CIRCLE

022038/0569 PAGE 2

ASSIGNEE:

SUMMIT CORPORATION PLC 91 MILTON PARK ABINGDON OXFORDSHIRE, UNITED KINGDOM

OX14 4RY

SERIAL NUMBER: 10597290

FILING DATE: ISSUE DATE:

PATENT NUMBER:

TITLE: IMMUNOMODULATORY ALKALOIDS

ASSIGNMENT SERVICES BRANCH PUBLIC RECORDS DIVISION

PAGE 4/005

Fax Server

D:PHILILP E. HANSEN COMPANY:5 COLUMBIA CIRCLE

PATENT ASSIGNMENT

Electronic Version v1.1 Stylesheet Version v1.1 12/30/2008 500742294

SUBMISSION TYPE: NEW ASSIGNMENT

NATURE OF CONVEYANCE: ASSIGNMENT

CONVEYING PARTY DATA

Name	Execution Date
Hadyn St. Pierre PARRY	12/05/2008
Robert James NASH	02/01/2008
Alison Ann WATSON	02/03/2008
Emma Louisa EVINSON	02/18/2008

RECEIVING PARTY DATA

Name:	SUMMIT CORPORATION PLC
Street Address:	91 Milton Park
Internal Address:	Abingdon
City:	Oxfordshire
State/Country:	UNITED KINGDOM
Postal Code:	OX14 4RY

PROPERTY NUMBERS Total: 1

Property Type	Number
Application Number:	10597290

CORRESPONDENCE DATA

Fax Number:

(518)452-5579

Correspondence will be sent via US Mall when the fax attempt is unsuccessful.

Phone:

518-452-5600

Email: Correspondent Name: edi@hrfmlaw.com Philiip E. Hansen

Address Line 1:

5 Columbia Circle

Address Line 2:

HESLIN ROTHENBERG FARLEY & MESITI P.C.

Address Line 4:

Albany, NEW YORK 12203

ATTORNEY DOCKET NUMBER:

2245.074

NAME OF SUBMITTER:

Philip E. Hansen

10597290

CAIN OR

D:PHILILP E. HANSEN COMPANY:5 COLUMBIA CIRCLE

Total Attachments: 13

source=2245074_Assignment_Executed#page1.tif

source=2245074_Assignment_Executed#page2.tif

source=2245074_Assignment_Executed#page3.tif

source=2245074_Assignment_Executed#page4.tif

source=2245074_Assignment_Annex_NameChange#page1.tif

source=2245074_Assignment_Annex_NameChange#page2.tif

source=2245074_Assignment_Annex_NameChange#page3.tlf

source=2245074_Assignment_Annex_NameChange#page4.tif

source=2245074_Assignment_Annex_NameChange#page5.tif

source=2245074_Assignment_Annex_NameChange#page6.tif

source=2245074_Assignment_Annex_NameChange#page7.tif source=2245074_Assignment_Annex_NameChange#page8.tif

source=2245074_Assignment_Annex_NameChange#page9.tif

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: NASH et al. Docket No.: 2245.074 Serial No.: 10/597,290 Group Art Unit: 1614 Filed: Confirmation No. 12/30/2008 8876 Examiner: Title: **IMMUNOMODULATORY** NA

ALKALOIDS

To: Commissioner for Patents
Application Processing Branch
Customer Correction Branch
P.O. Box 1450
Alexandria, Virginia 22313-1450

COMMUNICATION REQUESTING CORRECTION OF OFFICIAL FILING RECEIPT

Sir:

Applicant encloses a copy of the Official Filing Receipt issued in connection with the above-identified application.

The following error appears in the filing receipt:

In the Assignment For Published Patent Application:

"M N L PHARMA LIMITED, Ceredigion, UK, UK"

should read

--SUMMIT CORPORATION PLC, Oxfordshire, UK--

A copy of the Filing Receipt with the error highlighted is enclosed herewith. Also enclosed is a copy of the Notice of Recordation. As stated on the Notice of Recordation, the Receiving Party/Assignee should read "Summit Corporation PLC Oxfordshire, UK" rather than "MNL Pharma Limited, Ceredigion, UK, UK." While the inventors did assign their interest to MNL Pharma, subsequent assignments, each which was filed concurrently with the assignments to MNL Pharma, sum to vest title in the application with Summit Corporation. Applicant hereby requests that a Corrected Official Filing Receipt indicating the correct Assignee be issued.

Respectfully submitted,

Play 3 yans

Philip E. Hansen

Agent for Applicant

Registration No. 32,700

Dated: February 6, 2009

HESLIN ROTHENBERG FARLEY & MESITI P.C.

5 Columbia Circle

Albany, New York 12203 Telephone: (518) 452-5600

Facsimile: (518) 452-5579